

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: BRAJ BHUSHAN LOHRAY, et al

For: NOVEL TRICYCLIC COMPOUNDS AND THEIR USE IN MEDICINE; PROCESS  
FOR THEIR PREPARATION AND PHARMACEUTICAL COMPOSITIONS  
CONTAINING THEM

Attorney Docket No.: U 013701-9

**Commissioner of Patents and Trademarks**  
**Washington, D.C. 20231**

Sir:

**PRELIMINARY AMENDMENT**

Please amend the above-identified application as follows.

**IN THE CLAIMS**

It is requested that all pending claims be cancelled and replaced by the following claim:

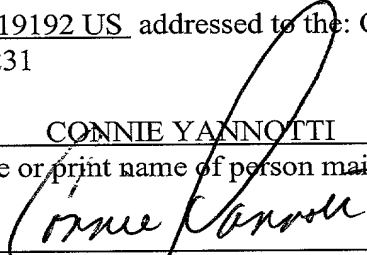
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**CERTIFICATE UNDER 37 CFR 1.10**

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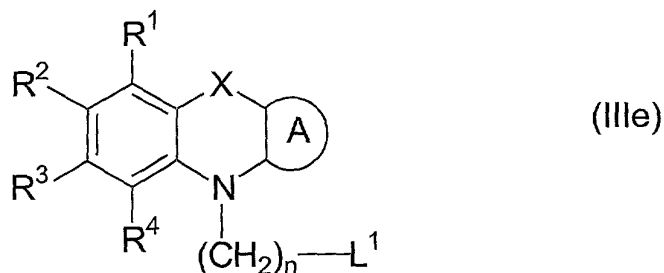
CONNIE YANNOTTI

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(Signature of person mailing paper)

**NOTE:** Each paper or fee referred to as enclosed herein has the number of the "EXPRESS MAIL" mailing label place thereon prior to mailing 37 CFR 1.16(b).

34. A compound of formula (IIIe)



its derivatives, its analogues, its tautomeric forms, its stereoisomers, its polymorphs, its pharmaceutically acceptable salts or its pharmaceutically acceptable solvates, wherein  $R^1$ ,  $R^2$ ,  $R^3$ , and  $R^4$  are the same or different and represent hydrogen, halogen, hydroxy, cyano, nitro formyl, or optionally substituted groups selected from alkyl, cycloalkyl, alkoxy, cycloalkoxy, aryl, aryloxy, aralkyl, aralkoxy, heterocyclyl, heteroaryl, heteroaralkyl, heteroaryloxy, heteroaralkoxy, acyl, acyloxy, hydroxyalkyl, amino, acylamino, arylamino, aralkylamino, aminoalkyl, alkoxycarbonyl, aryloxycarbonyl, aralkyloxycarbonyl, alkylamino, alkoxyalkyl, aryloxyalkyl, aralkoxyalkyl, alkylthio, thioalkyl, aralkoxycarbonylamino, alkoxycarbonylamino, aryloxycarbonylamino, carboxylic acid or its derivatives, or sulfonic acid or its derivatives; the ring A fused to the ring containing X and N represents a 5-6 membered carbocyclic structure which may optionally be substituted; the ring A may be saturated or contain one or more double bonds or may be aromatic; X represents a heteroatom selected from oxygen, sulfur or  $NR^9$  where  $R^9$  is hydrogen, alkyl, aryl, aralkyl, acyl, alkoxycarbonyl, aryloxycarbonyl, or aralkoxycarbonyl; n is an integer ranging from 1 to 4 and  $L^1$  is a halogen atom or a leaving group.

Respectfully submitted,

*Janet L. Cord*

JANET L. CORD

c/o LADAS & PARRY

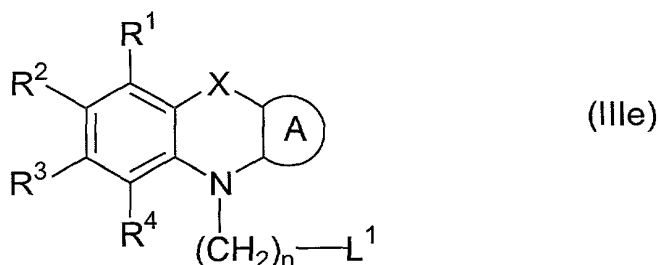
28 WEST 61 STREET

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## ABSTRACT

A compound of formula (IIIe)



its derivatives, its analogues, its tautomeric forms, its stereoisomers, its polymorphs, its pharmaceutically acceptable salts or its pharmaceutically acceptable solvates, wherein  $R^1$ ,  $R^2$ ,  $R^3$ , and  $R^4$  are the same or different and represent hydrogen, halogen, hydroxy, cyano, nitro formyl, or optionally substituted groups selected from alkyl, cycloalkyl, alkoxy, cycloalkoxy, aryl, aryloxy, aralkyl, aralkoxy, heterocyclyl, heteroaryl, heteroaralkyl, heteroaryloxy, heteroaralkoxy, acyl, acyloxy, hydroxyalkyl, amino, acylamino, arylamino, aralkylamino, aminoalkyl, alkoxycarbonyl, aryloxycarbonyl, aralkyloxycarbonyl, alkylamino, alkoxyalkyl, aryloxyalkyl, aralkoxyalkyl, alkylthio, thioalkyl, aralkoxycarbonylamino, alkoxycarbonylamino, aryloxycarbonylamino, carboxylic acid or its derivatives, or sulfonic acid or its derivatives; the ring A fused to the ring containing X and N represents a 5-6 membered carbocyclic structure which may optionally be substituted; the ring A may be saturated or contain one or more double bonds or may be aromatic; X represents a heteroatom selected from oxygen, sulfur or  $NR^9$  where  $R^9$  is hydrogen, alkyl, aryl, aralkyl, acyl, alkoxycarbonyl, aryloxycarbonyl, or aralkoxycarbonyl; n is an integer ranging from 1 to 4 and  $L^1$  is a halogen atom or a leaving group.